

Attorney's Docket No.: 12406-006003 / 1997P2507 US 07

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Hohn et al. Art Unit: 2826

Serial No.: 10/616,783 Examiner: Minh Loan Tran

Filed : July 10, 2003

Title : WAVELENGTH-CONVERTING CASTING COMPOSITION AND LIGHT-

EMITTING SEMICONDUCTOR COMPONENT

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Copies of references AA through DJ listed on the attached form PTO-1449 are not enclosed pursuant to 37 C.F.R. § 1.98(a).

Under 35 USC §120, this application relies on the earlier filing date of application serial number 09/650,080, filed on April 25, 2001, now U.S. Patent No. 6,592,780 which claims priority to application serial number 09/650,932, filed on August 29, 2000, now U.S. Patent No. 6,245,259. The following references were submitted to and/or cited by the Office in the prior application and, therefore, are not provided in this application:

Desig. IDs:

DN-DO, DT, EA, EC-EG, EK-EL, EN, EP, FL-FW, GA-GC, GF-GP, GR-HA, and HF-JX. Please note that BC (U.S. Patent No. 4,178,274) is the English counterpart to EB (DE 26 42 465) and BF (U.S. Patent No. 4,365,052) is the English counterpart to DL (EP 0 039 017).

CERTIFICATE OF MAILING BY FIRST CLASS MAIL

I hereby certify under 37 CFR §1.8(a) that this correspondence is being
deposited with the United States Postal Service as first class mail with
sufficient postage on the date indicated below and is addressed to the
Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

12-22-0

Date of Deposit

Signature

A. CARON

Typed or Printed Name of Person Signing Certificate

12/30/2004 THEKUNEN 00000032-10616783-

01 <u>FC</u>:1252----

_450-00-0P---

12/30/2004 MMEKDNEN 00000032 10616783

02 FC:1806

180.00 OP

Applicant: Hohn et al. Serial No.: 10/616,783

Filed : July 10, 2003

Page

: 2 of 2

Attorney's Docket No.: 12406-006003 / 1997P2507 US

07

This statement is being filed after a first Office action on the merits, but before receipt of a final Office action or a Notice of Allowance. A check for \$180 in payment of the late submission fee of §1.17(p) is enclosed. Please apply any other charges or credits to Deposit Account No. 06-1050, referencing Attorney Docket No. 12406-006003.

Respectfully submitted,

Date: 17/27/08

Marc M. Wefers* for David L. Feigenbaum Reg. No. 30,378

Fish & Richardson P.C. 225 Franklin Street Boston, MA 02110-2804 Telephone: (617) 542-5070 Facsimile: (617) 542-8906

*See attached document certifying that Marc M. Wefers has limited recognition to practice before the U.S. Patent and Trademark Office under 37 C.F.R. § 10.9(b).

20978904.doc

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 12406-006003	Application No. 10/616,783
hv A	closure Statement	Applicant Hohn et al.	
(Use several si (37 CFR §1.98(b))	heets if necessary) (EC 2 7 2004	Filing Date July 10, 2003	Group Art Unit 2826

		1.5	USPR	ent Documents			-
Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
	AA	3,312,851	04/1967	Flowers et al.		-	
	AB	3,316,109	04/1967	Rimbach		· · · · · ·	
	AC	3,440,471	04/1969	Baczewski et al.			
	AD	3,453,604	Jul 1, 1969	Geusic et al			
	AE	3,483,416	12/1969	G.A.W. Vermeulen			
	AF	3,510,732	May 5, 1970	Robert L. Amans			
	AG	3,529,200	Sept 15, 1970	Ralph M. Potter			
	AH	3,565,815	02/1971	Christy			
	AI	3,573,568	Jun 18, 1969	Harvey V. Siegel			
	AJ	3,593,055	July 13, 1971	Geusic			
	AK	3,621,340	11/1971	Shobha Singh			
	AL	3,654,463	Apr 4, 1972	Geusic et al			
	AM	3,659,136	04/1972	William Grodkiewicz			
	AN	3,691,482	Sept 12, 1972	Pinnow et al			
	AO	3,699,478	Oct 12, 1972	Pinnow et al			
	AP	3,700,479	10/1972	Arents			
	AQ	3,715,611	02/1973	De Mesquita et al.			• •
	AR	3,740,616	06/1973	Suzuki et al.			
	AS	3,742,277	06/1973	Peters			
	AT	3,743,833	07/1973	Mantic et al.			
	AU	3,819,974	Jun 25, 1974	Stevenson et al			
	AV	3,822,215	07/1974	W.H. Grodkiewicz			
	AW	3,875,456	04/1975	Kano et al.			
	AX	3,932,881	Jan 13, 1976	Mita			
	AY	3,942,185	Mar 2, 1976	J. Lebailly			
	AZ	4,093,890	06/1978	Verriet et al.			
	AAA	4,139,657	02/1979	Wantanabe			

Examiner Signature

Date Considered

EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Substitute Form PTO-1449 (Modified) U.S. Department of Commerce Attorney's Docket No. Application No. Patent and Trademark Office 12406-006003 10/616,783 **Information Disclosure Statement** Applicant by Applicant (Use several sheets if necessary) Hohn et al. Filing Date Group Art Unit July 10, 2003 2826 (37 CFR §1.98(b))

			U.S. Pate	ent Documents			•
Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date
miliai	BA	4,146,790	Mar 27, 1979	Goetzberger et al	Class	Subciass	If Appropriate
	BB	4,173,495	Nov 6, 1979	Rapp et al			
	BC	4,178,274	12/11/1979	Denk et al.	-		
	BD	4,262,206	Apr 14, 1981	Viehmann			
	BE	4,298,820	Nov 3 1981	Bongers et al			
	BF	4,365,052	12/21/1982	Reeh et al.			
	BG	4,431,941	Feb 14, 1984	Roy et al	 		
	BH	4,479,886	10/1984	Kasenga	252	301.4	
	BI	4,495,514	Jan 22, 1985	Lawrence et al			
	BJ	4,550,256	Oct 29, 1985	Berkstresser et al			
	BK	4,599,537	Jul 8, 1986	Yamashita	-		
	BL	4,684,592	08/1987	Matsuda et al.			
	BM	4,707,635	11/1987	Tateyama et al.			
	BN	4,710,674	12/1987	Sigai			
	ВО	4,716,337	Dec 29, 1987	Huiskes et al			
	BP	4,727,283	Feb 23, 1988	Van Kemenade et al			
	BQ	4,734,619	Mar 29, 1988	K. Havel			
	BR	4,816,369	03/1989	Matsuda et al.			
	BS	4,818,434	04/1989	Lindmayer			
	BT	4,818,983	Apr 4, 1989	Hara et al			
	BU	4,825,124	04/1989	Sigai			
	BV	4,894,583	01/1990	Berkstresser et al.			
	BW	5,003,181	03/1991	Morlotti et al.			
	BX	5,019,746	May 28, 1991	Merg			
	BY	5,035,513	Jul 30, 1991	Fehrenbach et al			
	BZ	5,120,214	June 30, 1992	Tokarlin	1.		
	BAA	5,184,114	Feb 2, 1993	Brown	1		

Examiner Signature	Date Considered
,	
EXAMINER: Initials citation considered. Draw line through citation if no next communication to applicant.	t in conformance and not considered. Include copy of this form with

Substitute Form PTO-1449 (Modified) U.S. Department of Commerce Patent and Trademark Office		Attorney's Docket No. 12406-006003	Application No. 10/616,783	
Information Disclosure Statement by Applicant		Applicant Hohn et al.		
(Use several sh	neets if necessary)	Filing Date July 10, 2003	Group Art Unit 2826	

Examiner Initial Desig. ID Patent Number Issue Date Patentee Class Subclass Filing If App CA 5,196,763 03/1993 Yang et al. Class Subclass Filing If App CB 5,208,462 05/1993 O'Conner et al. Class Subclass Filing If App CC 5,256,725 10/1993 Takada et al. Class Subclass Filing If App CD 5,256,725 10/1993 Takada et al. Class Subclass Filing If App CD 5,256,725 10/1993 Takada et al. Class Subclass Filing If App CD 5,369,289 Nov 29, 1994 Tamaki et al Class Takeiva et al. Class Class Subclass Filing If App CE 5,417,886 05/1995 Tateiwa et al. Class Class	Date
CA 5,196,763 03/1993 Yang et al. CB 5,208,462 05/1993 O'Conner et al. CC 5,256,725 10/1993 Takada et al. CD 5,369,289 Nov 29, 1994 Tamaki et al CE 5,417,886 05/1995 Tateiwa et al. CF 5,471,113 Nov 28, 1995 DeBacker et al CG 5,535,230 July 9, 1996 Abe CH 5,578,839 11/1996 Nakamura et al. CI 5,600,202 02/1997 Yamada et al.	opriate
CC 5,256,725 10/1993 Takada et al. CD 5,369,289 Nov 29, 1994 Tamaki et al CE 5,417,886 05/1995 Tateiwa et al. CF 5,471,113 Nov 28, 1995 DeBacker et al CG 5,535,230 July 9, 1996 Abe CH 5,578,839 11/1996 Nakamura et al. CI 5,600,202 02/1997 Yamada et al.	
CD 5,369,289 Nov 29, 1994 Tamaki et al CE 5,417,886 05/1995 Tateiwa et al. CF 5,471,113 Nov 28, 1995 DeBacker et al CG 5,535,230 July 9, 1996 Abe CH 5,578,839 11/1996 Nakamura et al. CI 5,600,202 02/1997 Yamada et al.	
CE 5,417,886 05/1995 Tateiwa et al. CF 5,471,113 Nov 28, 1995 DeBacker et al CG 5,535,230 July 9, 1996 Abe CH 5,578,839 11/1996 Nakamura et al. CI 5,600,202 02/1997 Yamada et al.	
CF 5,471,113 Nov 28, 1995 DeBacker et al CG 5,535,230 July 9, 1996 Abe CH 5,578,839 11/1996 Nakamura et al. CI 5,600,202 02/1997 Yamada et al.	
CG 5,535,230 July 9, 1996 Abe CH 5,578,839 11/1996 Nakamura et al. CI 5,600,202 02/1997 Yamada et al.	
CH 5,578,839 11/1996 Nakamura et al. CI 5,600,202 02/1997 Yamada et al.	
CI 5,600,202 02/1997 Yamada et al.	
CI 5 602 418 Feb 11 1997 Imai et al	
[3,002,710	
CK 5,607,621 03/1997 Ishihara et al.	
CL 5,624,602 04/1997 Lenox et al.	
CM 5,635,110 06/1997 Chandha et al.	
CN 5,643,674 07/1997 Bruno et al.	
CO 5,652,438 Jul 29, 1997 Sassa et al	• •
CP 5,656,832 Aug 12, 1997 Ohba et al	
CQ 5,665,793 09/1997 Anders	
CR 5,670,798 Sept 23, 1997 J. Schetzina	
CS 5,707,549 01/1998 Matsukiyo et al. 252 301.4	
CT 5,744,233 04/28/1998 Opitz et al. 428 328	
CU 5,747,832 05/1998 Nakamura et al.	
CV 5,772,916 06/1998 Jamil et al.	
CW 5,788,881 08/1998 Chadha et al.	
CX 5,813,752 09/1998 Singer et al.	
CY 5,813,753 09/1998 Vriens et al.	
CZ 5,906,771 05/1999 Watkins et al.	
CAA 5,952,036 09/1999 Tadaki et al.	

Examiner Signature	Date Considered	

EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Substitute	Form	PTO-1449
(Modified)		

U.S. Department of Commerce Patent and Trademark Office Attorney's Docket No. 12406-006003

Application No. 10/616,783

Information Disclosure Statement by Applicant (Use several sheets if necessary)

(37 CFR §1.98(b))

Applicant Hohn et al. Filing Date **Group Art Unit** July 10, 2003 2826

	U.S. Patent Documents								
Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate		
	DA	5,959,316	Sept 28, 1999	Lowery					
	DB	5,994,722	11/1999	Averback et al.					
-	DC	5,998,925	Dec 7, 1999	Shimizu et al.		"			
	DD	6,066,861	05/2000	Hohn et al.	252	301.36			
	DE	6,078,063	Jun 20, 2000	Nakamura et al					
	DF	6,245,259	06/2001	Hohn et al.	252	301.36			
	DG	6,277,301	08/2001	Hohn et al.	252	301.36			
	DH	6,600,175	07/29/2003	Baretz et al.	257	100			
-	DI	6,613,247	09/02/2003	Hohn et al.	252	301.36			
	DJ	2004/0016938	01/29/2004	Baretz et al.	257	100			
	DK								

	Foreig	n Patent Doc	uments or P	ublished Foreig	n Paten	t Applicat	tions	
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Transla	
	DL	0 039 017	11/1981	EP			Х	
	DM	0333162	09/20/1989	ЕРО				
	DN	0486052A1	05/1992	EP				
	DO	0936682	08/18/1999	EP				
	DP	2004989	12/05/1969	France			Abstract Only	
	DQ	2043403	02/12/1971	France				
	DR	2044727	02/26/1971	France	96		Abstract Only	
	DS	2073134	09/24/1971	France			Abstract Only	
	DT	196 38 667 A1	04/02/1998	Germany				
	DU	2018353C	10/29/1970	Germany			Abstract Only	
	DV	2,018354C	10/22/1970	Germany			Abstract Only	
	DW	2059909	06/24/1971	Germany			Abstract Only	

Examiner Signature

Date Considered

EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Substitute Form PTO-1449 U.S. Department of Commerce (Modified) Patent and Trademark Office		Attorney's Docket No. 12406-006003	Application No. 10/616,783	
Information Disclosure Statement by Applicant		Applicant Hohn et al.		
(Use several st (37 CFR §1.98(b))	neets if necessary)	Filing Date July 10, 2003	Group Art Unit 2826	

	Foreig	n Patent Doc	uments or P	ublished Foreig	n Paten	t Applicat	ions	
Examiner	Desig.	Document	Publication	Country or			Transla	tion
Initial	ID	Number	Date	Patent Office	Class	Subclass	Yes	No
	EA	2347289		Germany				
	EB	26 42 465	03/1978	Germany			х	•
	EC	DE2835184C2		Germany				
	ED	3315675 A1		Germany				
	EE	3804293 A1	08/1989	Germany		:		
	EF	44 32 035 A1	03/14/1996	Germany				
	EG	G9013615.2	01/1991	Germany				
	EH	1263185	02/09/1972	Great Britain				
	EI	1317731	05/23/1973	Great Britain				
	EJ	1317732	05/23/1973	Great Britain				
	EK	1,332,462	10/1973	Great Britain				"
	EL	1,589,964	05/1981	Great Britain				
	EM	2000173	01/04/1979	Great Britain				
	EN	GB2,053,953	02/1981	Great Britain				
	EO	2149416	06/12/1985	Great Britain				
	EP	00799345	04/11/1995	Japan .			English Abstract cited in '903 patent	
	EQ	00864860	03/08/1996	Japan			Abstract Only	
	ER	02011694	01/16/1990	Japan da			Abstract Only	
	ES	2080970	03/22/1990	Japan			Abstract Only	
	ET	03220286	09/27/1991	Japan			Abstract Only	
	EU	03287690	12/18/1991	Japan			Abstract Only	
	EV	05315652	11/26/1993	Japan			Abstract Only	
	EW	05315653	11/26/1993	Japan			Abstract Only	

Examiner Signature Date Conside	red

EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 12406-006003	Application No. 10/616,783		
by A	closure Statement pplicant	Applicant Hohn et al.			
(Use several sheets if necessary) (37 CFR \$1.98(b))		Filing Date July 10, 2003	Group Art Unit 2826		

Examiner	Desig.	Document	Publication	Country or			Transla	ation
Initial	ID	Number	Date	Patent Office	Class	Subclass		No
	FA	05315624	12/17/1993	Japan			Abstract Only	
	FB	05347432	12/27/1993	Japan			Abstract	
	FC	6013075	01/21/1994	Japan			Only Abstract	
	FD	6017130	01/25/1994	Japan			Only	
-,	FE	06053554	02/25/1994	Japan			Abstract Only	
	FF	06076754	03/18/1994	Japan			Abstract Only	
	FG	06163988	06/10/1994	Japan			Abstract Only	
	FH	06204570	07/22/1994	Japan		,	Abstract Only	
	FI	06306356	11/01/1994	Japan			Abstract Only	
	FJ	60090680	11/06/1986	Japan				
	FK	04137570	05/12/1992	Japan _.			Abstract Only	
	FL	1-189695		Japan				
	FM	198585/1996	05/1997	Japan (translation only)			х	
	FN	2-138361	05/28/1990	Japan			Х	
	FO	244339/1996	05/1997	Japan (translation only)			Х	
	FP	245381/1996	05/1997	Japan (translation only)			х	
	FQ	JP 2-91980	03/1990	Japan	33	00	Yes	
	FR	2,927,229	05/1999	Japan			х	
	FS	359004/1996	05/1997	Japan (translation only)	·		х	
-	FT	4-63162	05/1992	Japan				
	FU	4-63163	05/1992	Japan				
	FV	5-152609	06/1993	Japan			X	
	FW	5-63068	08/1993	Japan				
	FX	6-208845	07/26/1994	Japan			Abstract Only	

Examiner Signature

Date Considered

EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Substitute Form PTO-1449 U.S. Department of Commerce Attorney's Docket No. Application No. (Modified) Patent and Trademark Office 12406-006003 10/616,783 Applicant **Information Disclosure Statement** Hohn et al. by Applicant (Use several sheets if necessary) Filing Date Group Art Unit July 10, 2003 2826 (37 CFR §1.98(b))

	Foreig	n Patent Doo	uments or P	ublished Forei	gn Paten	t Applica	tions	
Examiner	Desig.	Document	Publication	Country or			Transla	
Initial	ID	Number	Date	Patent Office	Class	Subclass	Yes	No
·	GA	6-268257		Japan				
	GB	6-69546	03/11/1994	Japan	33	00	X	
	GC	7-176794	07/14/1995	Japan			X	
	GD	7-193281	07/28/1995	Japan			X	
	GE	7-42152	07/21/1995	Japan			X	
	GF	JP 7-99345	04/1995	Japan	33	00	Yes	
	GG	8-7614	01/1996	Japan			Х	
	GH	8-92549	04/28/1998	Japan			Х	
	GI	9-73807	03/1997	Japan			Х	
	GJ	11-220174	08/10/1999	Japan	33	00	Х	<u>-</u>
	GK	46-7462	12/1971	Japan				
	GL	47-17684	09/1972	Japan				
	GM	49-112577	10/1974	Japan				
	GN	49-1221	01/1974	Japan				
	GO	49-24355	03/04/1974	Japan			Х	
	GP	50-43913	04/1975	Japan	"		Х	
	GQ	50-74875	06/30/1975	Japan			X	
	GR	52-40959		Japan				X
	GS	52-45181	10/1977	Japan				
	GT	54-41660	05/1979	Japan				
	GU	55-5533		Japan				
	GV	56-1224		Japan				
	GW	59-50455	04/1984	Japan				
	GX	60-185457		Japan				
	GY	62-232827		Japan				
	GZ	63-280467	11/1988	Japan			Х	
	GAA	64-071053	03/16/1989	Japan	1		х	
		·					1	

Examiner Signature	Date Considered					
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.						

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 12406-006003	Application No. 10/616,783		
by A _l	closure Statement pplicant	Applicant Hohn et al.			
(Use several sheets if necessary) (37 CFR §1.98(b))		Filing Date July 10, 2003	Group Art Unit 2826		

	Foreig	n Patent Doc	uments or P	ublished Foreig	n Paten	t Applicat	tions				
Examiner	Desig.	Document	Publication	Country or			Transla	ation			
Initial	ID	Number	Date	Patent Office	Class	Subclass	Yes	No			
	HA	WO 98/12757	03/1998	WIPO							
-	НВ	W98/05078	05/02/1998	WIPO	H01L	33/00	Abstract Only				
	HC										
	Other D	ocuments (ir	nclude Autho	r, Title, Date, a	nd Place	of Public	ation)				
Examiner	Desig.		-				<u>, </u>				
Initial	ID			Documen							
	HD	Journal of the	Electrochemical :	Y3A15O12: Tb Phos Society, Vol. 129, No	. 4, pp. 816	-820	-	: ,			
	HE		Poort et al., "Optical properties of Eu2+-activated orthosilicates and orthophosphates" Journal of Alloys and Compounds, Vol. 260, No. 1-2, pp. 93-97 (September 12, 1997)								
	HF	Demand for Tria	al dated 3/3/00 re	JP2927279							
	HG	Written Reply d	ated 6/20/00 re JP	2927279			<u>.</u>				
	нн	Material Chemis	stry and Physics, '	Vol. 16 (1987), pp. 28	3-299						
	ні	Applied Physics	Letter, Vol 11, N	lo. 2 (1967), pp. 53-55	5						
	HJ	Siemens Compo	nents 29.7/8 1991	l, pp. 147-149							
	HK	Drafts of the Soc	ciety for the Study	of Fluorescent Mate	rials, pp. 5-	14					
	HL	Decision on Tria	al 11520/90 conce	rning JP5-152609							
	НМ	light-emitting di	odes", March 28,	n-class high-brightnes 1994, 64 (13), pp.168	37-1689						
	HN	J. Applied Physics, "Large-band gap SiC, III-V nitride, and II-VI Zn-Se-based semiconductor device technologies", August 1, 1994, 76 (3), pp.1363-1398									
	НО	J. Vac. Sci. Technol., InGaN/AlGaN blue-light emitting diode", May/June 1995, A13 (3), pp. 705-710									
	HP	vapor lamps", Ja	muary 1977, pp. 8				•				
	НQ	Physical Review "Frequency Unconversion in VE. Vb3+ Tm3+" April 15, 1071, P3 (8) np									
	HR	J. Applied Physi April 1971, pp.		Red, Green, and Blue	e Infrared-to	o-Visible Con	version Sour	ces",			
	HS	Osinski Marek AlGaN/InGaN/GaN blue light emitting diode degradation under pulsed curr						ent			
	нт	Thomas Justel e Beleuchtung-und lighting and disp	t al.: "Neue entwid d displayanwendu play applications],	ckugen auf dm gebiet ingen": [new develop Angew, chem., 1998	lumineszie nents in the , 110, pp.32	field of lumi 51-3271	nescent mate				
	HU	D.J. Robbins: "I of Ce ³⁺ in YAG" pp. 1550-1555	The Effects of Cry	stal Field and Temper loc.: Solid State Scien	rature on the	e Photolumine hnology1979	escence Excit , Vol. 126, N	tation o. 9,			

Examiner Signature	Date Considered					
EXAMINER: Initials citation considered. Draw line through citation if no	t in conformance and not considered. Include conv of this form with					
next communication to applicant.						

Substitute Form PTO-1449 (Modified)			Application No. 10/616,783	
by Ap	losure Statement plicant	Applicant Hohn et al.		
(Use several sheets if necessary) (37 CFR §1.98(b))		Filing Date July 10, 2003	Group Art Unit 2826	

	Foreig			ublished Foreig	n Paten	t Applicat	ions			
Examiner	Desig.	Document	Publication	Country or			Transi	ation		
Initial	ID	Number	Date	Patent Office	Class	Subclass	Yes	No		
	IA	Glen A. Slack et Physical Review	Glen A. Slack et al.: "Optical Absorption of Y ₃ A ₁₅ O ₁₂ from 10- to 55000-cm Wave Numbers", Physical Review, vol. 177, No.3, January 15, 1969, pp. 1308-1314							
	IB		Shuji Nakamura et al.: "The blue laser diode: GaN based Light emitters and lasers", Springer Vertag, Berlin, 1997, pp. 216-219, 328							
	IC	G Blasse et al.,	G Blasse et al.,: "A New Phosphor for Flying –Spot Cathode-Ray Tubes for Color Television: Yellow Emitting Y ³ Al ₅ O ¹² -Ce ₃₊ ", Applied Physics Letter, Vol. 11, No. 2, 15, pp. 53, 54							
	ID		White LED Lamp by Nichia, copy of a Japanese Newspaper, dated September 1996							
	IE	Chemistry and P	hysics, 16 (1987)			_				
	IF		Frank Mollmer et al.: "Siemens SMT-TOPLED fur die Oberflachenmontage", [Siemens SMT-TOPLED for surface mounting]. Siemens Components 29, 1991, No. 4, pp. 147-149							
	IG	Cheo et al.: "Wh	nite Light Emitting	g glasses", Journal Sol	lid State Ch	emistry, 1991	, pp. 17-29			
	IH			", Jap. J. Applied Phy						
	II	Reports], Vol. 6								
	IJ	S.N. Mohammad et al.: "emerging gallium Nitride Based Devices", Proceeding of the IEEE, Vol. 83, No. 10, October 1995, pp. 1306-1355								
	IK	Translation of Proceedings of 264 th Institute of Phosphor Society, "Development and Application of High Bright White LED Lamps", Nov. 29, 1996, pg's. 5-14.								
	IL	Product Information - Philips Lighting, Fluorescent Powder, 1990								
	IM	Shimizu, Yoshinori et al., Phosphor Handbook, Phosphor Research Society, 1999, pgs. 317-330, 495-508.								
,	IN		Translation of the newspaper "Nikkei Sangyo Shinbun", issued on September 13, 1996, White-LED Lamp Efficient Light Emission Half a Production Cost, Nichia Chemical							
	IO	"Phosphor Hand	lbook", Ohm 1987	, S. 166-175, 268-276	5.					
	IP	DIN 66141, Feb	ruary 1974							
	IQ	Phosphor Handb	oook, English Tran	aslation						
	IR	· -		, pp. 275-276, 383.		_				
	IS	White LED Lam	ps", Nov. 29, 199							
	IT	edition, publishe	d Decembe 25, 19							
	IU	Nikkei Sangyou LED lamps"	Shimbun (Nikkei	Industrial Newspaper), Septemb	er 13, 1996, fi	rst sheet, "V	Vhite		
	IV	Phosphor and Er	mitter (1997)							
	IW	Nichia Optoelect	tronic Product Gu	ide, Nichia Chemical	Industries,	Ltd. 10/96				

Examiner Signature	Date Considered						
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with							
next communication to applicant.							

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 12406-006003	Application No. 10/616,783	
Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))		Applicant Hohn et al.		
		Filing Date July 10, 2003	Group Art Unit 2826	

		n Patent Doo	uments or P	ublished Foreig	n Paten	t Applicat	tions	
Examiner	Desig.	Document	Publication	Country or			Translation	
Initial	ID	Number	Date	Patent Office	Class	Subclass	* Yes No	
	JA							
	JВ	English translation of Nikkei electronics, September 23, 1996, no. 671, "Nichia Chemical starts the sample shipment of white Light Emitting Diode".						
	JC	Nikkei Electronics, February 28, 1994						
	JD	Schlotter, P. et al., "Luminescence conversion of blue light emitting diodes", Applied Physics A, vol. 62, February 27, 1997, pp. 417-418						
	JE	Letter No. 6, of May 30, 2000, Sect. IV, subsections II and III English translation of Letter No. 6, of May 30, 2000, Sect. IV, subsections II and III Material Safety Data Sheet, pp. 1 and 2, and Lamp Phosphor Data Sheet of Phosphor NP-204 of Nichia Corporation						
	JF						i III	
	JG						phor NP-204 of	
	ЛН	"Phosphor Hand	lbook", Ohm, 198	7, pp. 172-174, 188-1	89, 270, 27	5-276, 383-38	85	
	JI	Translation of Ju	une 5, 2001 Office	Action in Japanese P	atent Appli	cation 10-514	4 190	
	JJ	Preliminary Dec	ision on Demand	for Trial of JP 2,927,2	279			
	JK	English Translation of Japanese 01175103 A, July 11, 1989. English Translation of Japanese 01260707 A, October 18, 1989.						
	JL							
	JM	English Translation of Japanese Patent Application No. 245381, Filed September 18, 1996, Nichia Chemical Industries Ltd. English Translation of Japanese Patent Application No. 359004, Filed December 27, 1996, Nichia Chemical Industries Ltd. English Translation of Japanese Patent Application No. 198585, Filed July 29, 1996, Nichia Chemical Industries Ltd.				er 18, 1996, Nichia		
	JN							
	JO							
	JР	English Translation of Japanese Patent Application No. 018010, Filed March 31, 1997, Nichia Chemical Industries Ltd.			I, 1997, Nichia			
	JQ English abstract of Japanese Laid-open Patent 10-179471, July 17, 1989							
JR English abstract of Japanese Laid-open 07-099345, April 11, 1995								
	JS					_		
-	JT							
JU Translation of Japanese Laid-o			apanese Laid-oper	pen Patent 07-176794, July 14, 1995				
	JV	Translation of Japanese Laid-open Patent 08-7614, January 12, 1996						
	JW	Translation of Japanese Laid-open Patent 50-43913, April 21, 1975						
	JX	Translation of Japanese Patent No. 2927279						
	JY	Japanese Internet Literature, "Preparing Nearly-Spherical Aluminate Phosphors of Uniform Size".					sphors of Uniform	

Examiner Signature	Date Considered
EXAMINER: Initials citation considered. Draw line through citation if no	t in conformance and not considered. Include copy of this form with

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 12406-006003	Application No. 10/616,783	
Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))		Applicant Hohn et al.		
		Filing Date July 10, 2003	Group Art Unit 2826	

	Foreig	n Patent Doc	uments or P	ublished Foreig	n Paten	t Applicat	ions	
Examiner	Desig.	Document	Publication	Country or			Trans	lation
Initial	ID	Number	Date	Patent Office	Class	Subclass	Yes	*No *
	KA	Course of Lectures: Fundamental and Application of Color Image Engineering, No. 5, Television Gakkaishi (The Journal of the Institute of Television Engineers of Japan), Vol. 47, 1993, p. 753-764.					Vol. 47,	
	КВ	R.W.G. Hunt, "Revised Colour-Appearance Model for Related and Unrelated Colours", Color Research and Application, Vol. 14, 1991 p. 146-165.						
·	KC	Yoshinobu Nayatani, "Revision of the Chroma and Hue Scaled of a Nonlinear Color- Appearance Model", Color Research and Application, Vol. 20, 1995, p. 143-155.						
	KD	Scotopic to the	Mitsuo Ikeda et al. "Equivalent Lightness of Colored Objects at Illuminances from the Scotopic to the Photopic Level", Color Research and Application, Vol. 14, 1989, p. 198-206.					
	KE	Mitsuo Ikeda et al., "Equivalent Lightness of Colored Objects of Equal Munsell Chroma a					na and ol. 16,	
	KF	Hiroyuki Shinoda et al., "Categorized Color Space on CRT in the Aperture and the Surface Color Mode", Color Research and Application, Vol. 18, 1993, p. 326-333.						
	KG	Change of Color Conspicuity for Various Illuminance Levels Effects of the Purkuinje shift, Shomei Gakkaishi (Journal of the Illuminating Engineering Institute of Japan, Vol. 17, 1987, p. 612-617. Japanese Journal of Applied Physics, Part 2, Vol. 31, No. 10B, 1992, p. L1457-L1459.						
	KH							
	KI	Translation of JP 48-39866, 05/18/1973, Japan						
	KJ							
	KK					_		
	KL	Translation of J	IP 5-50611,	07/02/1993, Japan				_
	KM	Translation of J	IP 5-72553,	10/05/1993, Japan				
	KN							
	KO							
	KP							

Examiner Signature	Date Considered